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3624
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al. Art Unit : 3624
Serial No. : 10/077,182 Examiner : Unknown
Filed : February 15, 2002
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed. A copy of a communication from a foreign patent office in a counterpart application is also enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

10/9/03

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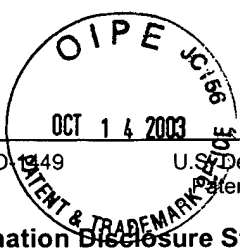
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Sheet 1 of 1Substitute Form PTO 1449
(Modified)U.S. Department of Commerce
Patent and Trademark OfficeAttorney's Pocket No.
10887602401Application No.
10/077,182**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant

Steven M. Bloom et al.

Filing Date

February 15, 2002

Group Art Unit

3624

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	6,035,287		Stallert et al.			3/7/00
	AB	6,278,983		Ball			8/21/01
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

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							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

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